

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-058001	Application No. 09/903,390
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant Dean Furbush et al.		
		Filing Date July 9, 2001	Group Art Unit	

<b>U.S. Patent Documents</b>							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	5297031	March 1994	Guterman et al.			
	AB	5297032	March 1994	Trojan et al.			
	AC	6195647	February 2001	Martyn et al.			
	AD	6272474	August 2001	Garcia			
	AE	6278982	August 2001	Korhammer et al.			
	AF	6408282	June 2002	Buist			
	AG	6536935	March 2003	Parunak et al.			
	AH	6629082	September 2003	Hambrecht et al.			
	AI	6631356	October 2003	Van Horn et al.			
	AJ	7020632	March 2006	Kohls et al.			
	AK	2002/0082967	June 2002	Kaminsky et al.			

<b>Foreign Patent Documents or Published Foreign Patent Applications</b>							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes      No
	AL	WO 91/14231	Sep.				
	AM	WO 98/13778	Apr.				
	AN						
	AO						
	AP						

<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>		
Examiner Initial	Desig. ID	Document
	AQ	Securities and Exchange Commission, Proposed Rule Change, NASD, Inc., Feb. 5, 1999, 61 pps..
	AR	"Nasdaq Workstation II", Nasdaq Stock Market, Inc., May 1999, pp. 1-17, XP002171886 ( <a href="http://www.nasdaqtrader.com/trader/tradingservices/productsservice6/userguides/-userguides.stm">www.nasdaqtrader.com/trader/tradingservices/productsservice6/userguides/-userguides.stm</a> ).
	AS	"Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc.", Federal Register-Securities and Exchange Commission, vol. 64, No. 47, Mar. 11, 1999, pp. 12198-12202, XP002171885 (198.17.75.65/fri/).

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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Examiner Initial	Desig. ID	Document
	AT	Reich, Benny and Ben-Shaul, Israel: "A Componentized Architecture for Dynamic Electronic Markets", Sigmod Record, vol. 27, No. 4, Dec. 1998, pp. 40-47, XP002171887 ( <a href="http://www.acm.org">www.acm.org</a> ).
	AU	"Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc., Federal Register--Securities and Exchange Commission, vol. 64, No. 77, Apr. 22, 1999, pp. 19844-19849, XP002171896 (198.17.75.65/fri/).
	AV	NASD Rulemaking: Relating to an Integrated Order Delivery and Execution System SECURITIES AND EXCHANGE COMMISSION (Release No. 34-39718; File No. SR-NASD-98-17) March 4, 1998
	AW	Self-Regulatory Organizations; Notice of Filing of Amendment No. 1 to a Proposed Rule Change by National Association of Securities Dealers, Inc., Relating to an Integrated Order Delivery and Execution System March 4, 1998. Federal Register / Vol. 63. No. 48 / Thursday , March 12, 1098 / Notices

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